

California Governor's Office of Emergency Services



Fiscal Year 2015 Operation Stonegarden Grant Program (OPSG)

***California Supplement
Federal Program Guidance and Application Kit***

April 16, 2015

STATE OF CALIFORNIA
Edmund G. Brown Jr., Governor

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Contact Information

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**** Please mail in all required documentation to the address above**

Section 1 – Application Resources

Federal Program Guidance and Updates	<p>The U.S. Department of Homeland Security (US DHS)/Federal Emergency Management Agency (FEMA) published the <i>Fiscal Year (FY) 2015 Homeland Security Grant Program (HSGP) Notice of Funding Opportunity (NOFO)</i> on April 2, 2015.</p> <p>The <i>Notice of Funding Opportunity</i> may be obtained at: https://www.fema.gov/media-library/assets/documents/103698</p>
Applications/ Operational Orders	<p>The template for the Applications can be obtained at: https://www.fema.gov/media-library/assets/documents/103698</p> <p>Applications are due to Cal OES no later than <u>May 5, 2015 8:59 pm PST</u>.</p>
Press Release	<p>The US DHS issued a Press Release announcing the <i>FY 2015 HSGP</i> on April 2, 2015.</p> <p>The Press Release can be obtained at: http://www.dhs.gov/news/2015/04/02/dhs-announces-grant-guidance-fiscal-year-fy-2015-preparedness-grants</p>
Frequently Asked Questions	<p>The US DHS issued a Frequently Asked Questions (FAQ) Sheet on the <i>FY 2015 HSGP</i> on April 2, 2015.</p> <p>The FAQ Sheet can be obtained at: https://www.fema.gov/media-library/assets/documents/103698</p>
California Supplement	<p>The <i>California Supplement</i> to the Federal Program Guidance is intended to complement, rather than replace, the federal guidance published by the US DHS National Preparedness Directorate. It is recommended that applicants read thoroughly the federal guidance before referring to the State Supplement. Funding availability, eligible applicants, allowable costs and other key information is described in the federal guidance and application kit.</p>

Section 2 – Timeline

FY 2015 OPSG Sub-recipient Timeline	US DHS announcement of FY 2015 OPSG	April 2, 2015
	Deadline to submit applications to Cal OES	May 5, 2015
	US DHS anticipated award date (no later than)	September 1, 2015
	Performance period begins	September 1, 2015
	Sub-recipient performance period ends	May 31, 2018
	Final cash requests due to Cal OES no later than	May 31, 2018

Section 3 - Overview

Funding Availability	<p>The FY 2015 OPSG makes funds available to support U.S. Border states and territories, local units of government at the county level and Federally-recognized tribal governments bordering Mexico, and also, territories with international water borders. The FY 2015 Homeland Security Grant Program (HSGP) will incorporate OPSG similarly to State Homeland Security Grant Program (SHSP), and Urban Area Security Initiative (UASI).</p>
Grant Performance Period	<p>Thirty-Six (36) months from date of grant award to Cal OES. However, sub-recipients are required to submit all cash requests to Cal OES within thirty-three (33) months from the date of award, or ninety (90) days prior to Federal deadline.</p>
Review Criteria /Evaluation Process	<p>The FY 2015 OPSG will use risk-based prioritization using CBP Sector-specific border risk to include, but not limited to: threat, vulnerability, miles of border, and other border-specific “law enforcement intelligence.” Each applicant’s final funding allocation will be determined by using a combination of the results of the risk analysis and feasibility of the Operations Orders.</p> <ul style="list-style-type: none">• Applications developed at the county level should be inclusive of city, county, tribal, and other local law enforcement agencies that are eligible to participate in OPSG operational activities, with the emphasis on the Executive Summary, Mission, and Budget. This information will be used to evaluate the anticipated feasibility, need, and impact of the operations (<u>see pages 62-65 (Appendix D) of the FY 2015 Federal HSGP Notice of Funding Opportunity</u>). Applications are due to Cal OES no later than May 5, 2015 8:59 pm PST.• Applications will be reviewed by the Cal OES and CBP/BP Sector Headquarters for completeness and adherence to programmatic guidelines as well as operational content prior to submission to FEMA.• Cal OES and CBP/BP OPSG Program leads will ensure a coordinated approach to maintain application and operations order pre-submission accountability.• For counties or territories near an international water border seeking participation, please contact the P.O.C. for U.S. Border Patrol San Diego Sector (pg. 4).

Review Criteria /Evaluation Process cont.	Following the review by State and CBP/BP Sector Headquarters, each application will be forwarded for review by a Federal review panel comprised of evaluators from components within FEMA and CBP/BP Headquarters level evaluators.
Award Date	FEMA will evaluate and act on applications as quickly as possible following the close of the application period. Awards will be made on or before <u>September 1, 2015.</u>
Eligible Applicant	Cal OES is the State Administrative Agency (SAA) for California and is the eligible grant applicant in the FY 2015 OPSG process.
Eligible Sub-recipients	Eligible sub-recipients under the FY 2015 OPSG are local units of government at the county level and Federally-recognized tribal governments bordering Mexico, and also, territories with international water borders. Cal OES is the only entity eligible to apply to FEMA for FY 2015 OPSG funds on behalf of the county or similar level of government and Federally-recognized tribal governments. Eligible territories without a county or similar level of government structure are authorized to accept applications on behalf of the alternative unit of local government. Cal OES in this situation must advise FEMA in writing as to their intent. <u>Note: Not all applicants are guaranteed to receive funding under the FY 2015 OPSG.</u>
Total Amount of Funding Available	There is \$55,000,000 available, nation-wide, of FY 2015 OPSG funding.

Section 4 – Sub-recipient Application Process

Applications	Eligible border counties must submit applications to Cal OES by <u>May 5, 2015 8:59 pm PST</u> as shown on the timeline on page six. Please include the Budget within the applications.
Applications Submittal	Information regarding instructions on how sub-recipients will submit applications to Cal OES will be released in the near future.
Operational Guidance	As OPSG continues to evolve, several proven practices have been recognized, centered on short-term, periodic operations in support of overarching near and long term goals. A multi-step process will be established via the area Integrated Planning Team, including a campaign plan and a cycle of operations to ensure that Stonegarden participants maintain synergism and have a coordinated and measurable impact on reducing border-security risk. Standardized, accurate, and timely reporting will focus on: monitoring program performance; assessing productivity and results; determining the level of integration and information sharing; evaluation of money spent and operations conducted; and developing best practices for future operations. In FY 2015, OPSG has standardized the form used to capture key data sets. In addition, nationwide standards for submitting the reporting forms will be implemented. The overarching operational cycle involves three stages; application, concept of operations, and one or more tactical operational periods, which are all developed by the Integrated Planning Team. For more detailed information regarding FY 2015 OPSG Operational Guidance, please refer to pages 66-74 (Appendix E) of the FY 2015 Federal HSGP Notice of Funding Opportunity.

Eligible Costs Operational Overtime (no more than 50 percent of the total award)
Operational costs associated with law enforcement activities, in support of border law enforcement agencies for increased border security enhancement. Per the *Personnel Reimbursement for Intelligence Cooperation and Enhancement (PRICE) of Homeland Security Act* (Public Law 110-412), all grantees are allowed to utilize up to 50 percent of FY 2015 OPSG funding for personnel related costs, which include overtime activities. At the discretion of the FEMA administrator, a waiver of the 50 percent limit on personnel may be granted.

Fuel Cost and/or Mileage Reimbursement

Travel and Per Diem, and Lodging

Travel and per diem costs associated with the deployment/redeployment of personnel to border areas and for travel associated with law enforcement entities assisting other local jurisdictions in law enforcement activities. Travel costs must be in accordance with applicable travel regulations. In addition, costs to support up to six (6) month deployment of law enforcement personnel to critical Southwest Border locations to support operational activities.

Part Time Personnel

FY 2015 OPSG funds may be used to pay additional current part time law enforcement personnel salaries in order to bring them to full time status.

Vehicle/Equipment Rentals

Vehicle/Equipment Maintenance

The use of DHS/FEMA preparedness grant funds for maintenance contracts, warranties, repair or replacement costs, and user fees are allowable, as described in FEMA Policy [*FP 205-402-125-1*](#)

Fuel Cost and/or Mileage Reimbursement

There is no cap for reimbursement of operational activities

Activate reserve, state, local, and tribal law enforcement personnel

Backfill

Costs associated with backfill for personnel supporting operational activities.

Law Enforcement Readiness

Use of FY 2015 OPSG funds may be used to increase operational, material, and technological readiness of State, local, Tribal, and territorial law enforcement agencies

Eligible Costs Cont.	Sub-recipients may also retain a maximum of up to five percent (5%) of funding passed through by the State solely for management and administration purposes associated with the OPSG award. For additional information on M&A, refer to FEMA Grant Programs Directorate Policy FP-207-087-1 http://www.fema.gov/media-library-data/20150726-1922-25045-8025/clarification_of_allowable_m_a_costs_under_opsg.pdf
Performance Bonds	Sub-recipients must obtain a performance bond for any equipment item over \$250,000 or any vehicle, aircraft, or watercraft, <u>regardless of price</u>, financed with homeland security funds. The performance bond ensures delivery of the item within 90 days of the sub-recipient performance period. The performance bond is an allowable cost under the FY 2015 OPSG
Non-Eligible Costs	<u>Unallowable Costs</u> Unallowable costs include costs associated with staffing and general IT computing equipment, and hardware such as personal computers, faxes, copy machines, modems, etc. The FY 2015 OPSG is not intended as a hiring program. Applying funds toward hiring full-time or permanent sworn public safety officers is also unallowable. FY 2015 OPSG funding shall not supplant inherent routine patrols and law enforcement operations or activities not directly related to providing enhanced coordination between local and Federal law enforcement agencies. Finally, construction and/or renovation costs are prohibited under FY 2015 OPSG.

Section 5 - Post DHS Award – Sub-recipient Application

Post-Award Sub-recipient Application Components	<p>Successful applicants will be required to submit post-award applications to Cal OES prior to final award of grant funds.</p> <p>A completed post-award application will include all of the following components.</p> <ul style="list-style-type: none">• Completed Cal OES Financial Management Forms Workbook<ul style="list-style-type: none">-Submitted to Cal OES (Mailed) – <u>refer to pg. 4 for the mailing address</u>-Application Cover Sheet-Grant Management Roster-Project Ledger-Project Description-Equipment Inventory Ledger-Training Roster-Authorized Agent form with appropriate signatures• Governing Body Resolution – Mailed• Signed Original Grant Assurances – Mailed <p>The Financial Management Forms Workbook can be found at http://www.calema.ca.gov/cal-oes-divisions/grants-management/grants-processing-programs/homeland-security-grants-processing</p>
Post-Award Sub-recipient Application Approval	<p>The sub-recipient will receive written notice of Cal OES approval of the post-award Sub-recipient application. This written notice indicates the sub-recipient is eligible for reimbursement or advance of FY 2015 OPSG funding.</p>

Post Award Modifications Post award budget, scope and time modifications must be requested using the **Cal OES Financial Management Forms Workbook**, by the sub-recipient's Authorized Agent, and submitted to the sub-recipient's Program Representative in the Infrastructure Protection Grant Unit of Cal OES. Upon approval the sub-recipient will be instructed to make the required changes in the National Preparedness Directorate's Grants Reporting Tool (GRT) <https://www.reporting.odp.dhs.gov> .

The sub-recipient may implement the modifications, and incur associated expenses, **after** receiving **written final approval** of the modification from Cal OES.

NOTE: Modifications can be requested once per quarter during the grant performance period. Failure to submit modification requests, and receive written approval prior to expenditure, could result in a reduction or disallowance of that part of the grant.

Sub-recipient Performance Reports Sub-recipients must prepare and submit performance reports to Cal OES for the duration of the grant performance period, or until all grant activities are completed and the grant is formally closed. Sub-recipients must complete a Biannual Strategy Implementation Report using the Grant Reporting Tool (GRT), at <https://www.reporting.odp.dhs.gov> and will also be required to submit additional information and data requested by Cal OES.

Monitoring Sub-recipient Performance Cal OES is currently conducting a program of sub-recipient monitoring. The monitoring will be conducted on the sub-recipients administrative, programmatic and fiscal management of the grant(s).

These reviews may include, but are not limited to:

- Eligibility of expenditures
- Comparing actual sub-recipient activities to those approved in the Sub-recipient application and subsequent modifications, if any.
- Ensuring that advances have been disbursed in accordance with applicable guidelines.
- Confirming compliance with:
 - Grant Assurances.
 - Information provided on performance reports and payment requests.
 - Needs and threat assessments and strategies.

Suspension or Termination Cal OES may suspend or terminate Sub-recipient funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the grant milestones, guidance and assurances.
- Failing to comply with the requirements or statutory objectives of federal or state law.
- Failing to make satisfactory progress toward the goals or objectives set forth in the Sub-recipient application.
- Failing to follow grant agreement requirements or special conditions.
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Failing to submit required reports.
- Filing a false certification in the application or other report or document.
- Failing to adequately manage, monitor or direct the grant funding activities of their sub-recipients.

Before taking action, Cal OES will provide the sub-recipient reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

Closeout Cal OES will close a sub-recipient award after:

- Receiving a sub-recipient Performance Report indicating that all approved work has been completed, and all funds have been disbursed;
- Completing a review to confirm the accuracy of reported information; and
- Reconciling actual costs to awards, modifications and payments.

If the closeout review and reconciliation indicates that the sub-recipient:

- Owed additional funds, Cal OES will send the final payment automatically to the sub-recipient.
- Did not use all funds received, Cal OES will issue an Invoice or Grant Modification letter to recover the unused funds.

In the **Grant Closeout letter**, Cal OES will notify the sub-recipient of the start of the record retention period for all programmatic and financial grant related records.

NOTE: Failure to maintain all grant records for the required retention period could result in a reduction of eligible grant activities, and an invoice to return costs associated with the unsupported activities.

Payment Request Process To request reimbursement payment of FY 2015 OPSG funds, complete a payment request form using the Cal OES Financial Management Forms Workbook and return it to the appropriate Program Representative in the Infrastructure Protection Grants Section at Cal OES.

Cal OES Financial Management Forms Workbook

<http://www.calema.ca.gov/cal-oes-divisions/grants-management/grants-processing-programs/homeland-security-grants-processing>

NOTE: Payments can only be made if the sub-recipient has submitted an approved Financial Management Forms Workbook, valid Governing Body Resolution, and valid Grant Assurance form.

Financial Management and Reporting Workshops Cal OES conducts regular workshops on grants management, financial management and grant reporting. Please contact your Cal OES Program Representative for more information.